

06/21/01

Jc7/2 U.S. PTO

# IN THE UNITED STATES PATENT AND TRADE MARK OFFICE

## REQUEST FOR FILING NATIONAL PATENT APPLICATION

Under 35 USC 111(a) and Rule 53(b)

Commissioner of Patents  
Washington, D.C. 20231

WITH SIGNED DECLARATION

NONPROVISIONAL  
NON REISSUE  
NON PCT NAT PHASE

PATENT APPLICATION



00909

Jc903 U.S. PTO  
09/885046  
06/21/01

Sir:

Herewith is the PATENT APPLICATION of  
Inventor(s): SHIBATA et al.

Title GROUP III NITRIDE COMPOUND SEMICONDUCTOR  
DEVICE AND METHOD FOR PRODUCING THE SAME

Atty. Dkt.: P 281498 T36-133525M/KOH  
M# Client Ref

including:

Date: June 21, 2001

1. Specification: 62 pages (only spec. and claims) 2. ☐ Specification in non-English language
3. Declaration ☒ Original ☐ Facsimile/Copy ☒ Abstract 1 page(s); 31 numbered claims
4. ☒ Drawings: 8 sheet(s) ☐ informal; ☒ formal of size: ☒ A4 ☐ 11"
5. ☐ See top first page re prior Provisional, National or International application(s). ("X" box only if info is there and do not complete item 6 or 7). (Prior M#          SN         )
6. This application claims benefit of the following prior US application(s), the contents of which are incorporated into this application by this reference:
- |  |                               |
|--|-------------------------------|
| No. <u>        </u> / <u>        </u>                | filed <u>        </u>         |
| No. <u>        </u> / <u>        </u>                | filed <u>        </u>         |
| No. <u>        </u> / <u>        </u>                | filed <u>        </u>         |
| No. PCT/ <u>US</u> <u>        </u> / <u>        </u> | filed <u>        </u> , Which |
- designated the US and that International Application ☐ was ☐ was not published under PCT Article 21(2) in English
- ☐ See the attached Preliminary Amendment, which amends the specification to claim benefit of the above listed US application(s)

8. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
9. ☐ Assignee (optional):

Address         

10. FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in Japan

11.          (country)

Application No.	Filing Date	Application No.	Filing Date
(1) 2000-189391	June 23, 2000	(2) 2000-191780	June 26, 2000
(3)		(4)	
(5)		(6)	
(7)		(8)	
(9)		<input type="checkbox"/> See 3 <sup>rd</sup> page for additional priorities	

12. 2 (No.) Certified copy (copies): ☒ attached; ☐ previously filed (date)           
in U.S. Application No.          /          filed on
13. Small entity status ☒ is not claimed; ☐ is claimed (Pre-filing confirmation required)
- 13(a). ☐ Attached:          (No.) Small Entity Statement(s) (since 9/8/00 small entity statement(s) not essential to make claim)
- 13(b). ☐ See NONPUBLICATION REQUEST under Rule 213(a) attached (Pat-258)

14. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1)		(4)	
(2)		(5)	
(3)		(6)	

15. ☐ This application is being filed under Rule 53(b)(2) since an inventor is named in the enclosed Declaration who was not named in the prior application.

16. ☒ Attached: PTO 1449 form, (7) references

17. ☒ Petition to Accept Color Photographs/Drawings

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity		Fee Code
18. Basic Filing Fee				\$710/\$355	\$710	101/201
19. Total Effective Claims	31	minus 20 =	*11	x \$18/\$9 =	+ 198	103/203
20. Independent Claims	4	minus 3 =	*1	x \$80/\$40 =	+ 80	102/202
*If answer is zero or less, enter "0"						
21. If any proper multiple dependent claim (ignore improper) is present, add (Leave this line blank if this is a reissue application)				+ \$270/\$135	+ 0	104/204
22. TOTAL FILING FEE ENCLOSED =					\$988	
23. If "non-English" box 2 is X'd, add Rule 17(k) processing fee				+ \$130	+ 0	139
24. If "assignment" box 8 is X'd, add recording fee				+ \$40	+ 40	581
25. <input checked="" type="checkbox"/> Attached is a Petition/Fee under Rule No. -17				+ \$130	+ 130	122
26. TOTAL FEE ENCLOSED =					\$1158	

Our Deposit Account No. 03-3975

Our Order No. 51273

C#

280498

M#



00909

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This **CHARGE STATEMENT** does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Winthrop LLP**  
**Intellectual Property Group**

By Atty: Caroline D. Dennison

Reg. No. 34494

Sig:

*Caroline D. Dennison*

Fax: (703) 905-2500

Tel: (703) 905-2161

Atty/Sec: gjp/dlh

NOTE: File in duplicate with 2 post card receipts (PAT-103) & attachments

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT APPLICATION of

Inventor(s): SHIBATA et al.

Examiner: \_\_\_\_\_

Appln. No.: \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

Series Code  $\uparrow$  | Serial No.  $\uparrow$

Filed: June 21, 2001

Atty. Dkt. P 281498  
M#

T36-133525M/KOH  
Client Ref

For GROUP III NITRIDE COMPOUND  
SEMICONDUCTOR DEVICE AND METHOD  
FOR PRODUCING THE SAME

Date: June 21, 2001

Hon. Commissioner of Patents  
Washington, D.C. 20231

**PETITION TO ACCEPT COLOR DRAWINGS/PHOTOGRAPHS**

This petition is made to accept:

- ☐ color drawings (Rule 84(a)(2)) three sets of which are  
☒ color photographs (Rule 84(b)(2)) three sets of which are  
☒ enclosed  
☐ previously filed on \_\_\_\_\_

- ☒ Please amend the specification by inserting as the first paragraph of the Brief Description of the Drawing, i.e., on page 10 between lines 4 and 5:

--The file of this patent contains at least one drawing executed in color. Copies of this patent with color drawing(s) will be provided by the patent and Trademark Office upon request and payment of the necessary fee. --

The color drawings/photographs are necessary for the understanding of the claimed invention because:

- ☒ The required \$130 petition fee (fee code 122) per Rule 17(h) is enclosed. Should that fee be missing or inadequate, please charge our Deposit Account No. 03-3975 under Order No. 51273 / 281498

06/22/2001 TGEDAMU1 00000079 09885046 Respectfully submitted,

01 FC:101  
02 FC:102  
03 FC:103  
04 FC:122

749.00 Op  
130.00 Op  
Intellectual Property Group

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Atty/Sec: CDD/jlc

NOTE: File this petition in duplicate with PTO receipt PAT-103 or PAT-103A and attachments